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PTO/SB/05 (4/98) through 09/30/2000. OMB 0651-0032 J.S. DEPARTMENT OF COMMERCE it displays a valid OMB control number.

Attorney Docket No. 1-99

MATSUI First Inventor or Application Identifier

(Only for new nonprovisional applications under 37 C.F.R.§ 1.53(b))

UTILITY

PATENT APPLICATION

TRANSMITTAL

METHOD AND APPARATUS FOR Title **MECHANOCHEMICAL POLISHING**

Express Mail Label No.

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.				Assistant Commissioner for Patents Box Patent Application Washington, DC 20231								
1.			al Form (e.g., nal and a duplicat			5.					rogram (<i>Appendix</i>)	
2. L	X Sp	ecification		[Total Pages	36]	6.	 Nucleotide and/or Amie (if applicable, all neces 				equence Submission	
	-De	escriptive title	of the Inventi	on		а		Computer F	Readab	le Co	ру	
	-Cr	oss Referenc	ce to Related A	Applications		b		Paper Copy	(identic	al to o	omputer copy)	
	-Ba	ckground of	the Invention				c. Statement verifying identity of above copies					
	-Su	ımmary of the	e Invention				ACCOMPANYING APPLICATION PARTS					
	-Br	ief Descriptio	on of the Drawi	ngs		7.	X	Assignment P	apers	(cove	r sheet & document(s	;))
		etailed Descri aims	iption of the Pr	eferred Embo	diment .	8.		37 C.F.R.§ 3.73 Statement (when there is a		gnee)	X Power of Attorney	
	Ab	stract of the	Disclosure			9.		English Trans	lation [Docur	nent (if applicable)	
3.	X Dra	awing(s) <i>(35</i> (U.S.C. 113)	[Total Sheets	11]	10.	X	Information D Statement (ID	sclosu	re	X Copies of II	os
4.	Oath or	Declaration		[Total Sheets	3]	11.		Preliminary A	mendm	ent		
	a. [X Newly e	xecuted (origi	nal or copy)		12.	12. Return Receipt Postcard (MPEP 503) (should be specifically itemized) *Small Entity					
	b. [om a prior appl nuation/divisiona			13.		Statement(s) (PTO/SB/09-12)			tement filed in prior applica tus still proper and desired	
		i. D	ELETION OF Igned statement	INVENTOR(S)) Jetina	14.	X	Certified Copy				
	inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).						15. Other:					
11 -			ORDER TO BE ENT EMENT IS REQUIR									
111			PPLICATION IS RE					•••••				
16. If	a CON	TINUING API	PLICATION, c	heck appropria	te box, and supp	oly the r	equisite	e information b	elow an	d in a	preliminary amendme	nt:
	☐ Cont			☐ Continuation	i-in-part (CIP)	of pr	ior appli	ication No:			.	-
			tion: Examiner_ r DIVISIONAL A		entire disclosur	e of the	prior a		/Art Unit		th or declaration is su	- pplied
					e accompanying of tion has been in:						eby incorporated by reference in the second section parts.	rence.
					ORRESPOND				***			
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Addre	ss						_					
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Count	ry	<u> </u>			Telephone	(2	02) 220)-3105	Fax	(20	2) 220-3106	
	Name	(Print/type)	DAVID G.	_		R	egistratio	on No. (Attorney	(Agent)		37,701	
Signature Table 1.15								ate	Nov. 13, 2000			

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



(\$) 1164

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FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

	Complete if Known	> ⊘ ■
Application Number		13
Filing Date	November 13, 2000	jc(
First Named Inventor	MATSUI	
Examiner Name		
Group/Art Unit		
Attorney Docket No.	1-99	

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)					
The Commissioner is hereby authorized to charge indicated	3. A	DDITI	ONAL	FEES		
1. Life continuosonia is releasy auti orized to dialge indicated fees and credit any overpayments to:				intity	Fee Description	Fee Paid
Deposit	Fee Code	Fee (\$)	Fee Code	Fee (\$)		
Account Number 50-1147		130	205	65	Surcharge – late filing fee or oath	
Number	127	50	227	25	Surcharge – late provisional filing fee or	
B					cover sheet.	
Deposit Account Name	139	130	139	130	Non-English specification	
Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17	147	2,520	147	2,520	For filing a request for reexamination	
2. X Payment Enclosed:	112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
Check Money Other	113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
FEE CALCULATION	115	110	215	55	Extension for reply within first month	
1. BASIC FILING FEE	116	390	216	195	Extension for reply within second month	
Large Entity Small Entity	117	890	217	445	Extension for reply within third month	
Fee Fee Fee Fee Description	118	1,390	218	695	Extension for reply within fourth month	
Code (\$) Code (\$) Fee Paid 101 710 201 355 Utility filing fee 710	128	1,890	228	945	Extension for reply within fifth month	
106 320 206 160 Design filing fee	119	310	219	155	Notice of Appeal	
107 490 207 245 Plant filing fee	120	310	220	155	Filing a brief in support of an appeal	
108 710 208 355 Reissue filing fee	121	270	221	135	Request for oral hearing	
114 150 214 75 Provisional filing fee	138	1,510	138	1,510	Petition to institute a public use proceeding	
	140	110	240	55	Petition to revive – unavoidable	
SUBTOTAL (1) (\$) 710	141	1,240	241	620	Petition to revive – unintentional	
2. EXTRA CLAIM FEES	142	1,240	242	620	Utility issue fee (or reissue)	
Fee from Extra Claims <u>Below</u> Fee Paid	143	440	243	220	Design issue fee	
Total Claims 43 -20**= 23 × 18 = 414	144	600	244	300	Plant issue fee	
Independent Claims 2 - 3**= 0 X 80 =	122	130	122	130	Petitions to the Commissioner	
Multiple Dependent =	123	50	123	- 50	Petitions related to provisional applications	
**or number previously paid, if greater; For Reissues, see below	126	240	126	240	Submission of information Disclosure Stmt	
Large Entity Small Entity Fee	581	40	581	40	Recording each patent assignment per property (times number of properties)	40
103 18 203 9 Claims in excess of 20	146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
102 80 202 40 Independent claims in excess of 3	149	710	249	355	<u> </u>	
104 270 204 135 Multiple dependent daim, if not paid						
109 80 209 40 **Reissue independent claims over original patent	Other fe	ee (spec	ify) _			
110 18 210 9 **Reissue claims in excess of 20 and over original patent	Other fo	ee (spec	ify)			
SUBTOTAL (2) (\$) 414	SUBTOTAL (2) (5) 414 *Reduced by Basic Filing Fee Paid SUBTOTAL (3) (5) 40					

SUBMITTED BY		Complete (if applicable)						
Name (Print/Type)	DAVID G. POSZ	Registration No. (Attorney/Agent) 37,701	Telephone	(202) 220-3105				
Signature	Tail TS		Date	Nev. 13 , 2000				

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LAW OFFICE OF

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SPECIALIZING IN
PATENTS, TRADEMARKS
& COPYRIGHTS

November 13, 2000

Hon. Commissioner of Patents and Trademarks Washington, D.C. 20231

Sir:

FILING CERTIFICATE

Applicant: MATSUI

For: METHOD AND APPARATUS FOR MECHANOCHEMICAL POLISHING

Docket: 1-99

Attorney: David G. Posz

Date of Deposit: November 13, 2000

I hereby certify that this certificate and the following documents are being hand-delivered to, and deposited on the above-indicated date with, Office of Initial Patent Examination at the United States Patent Office, and are addressed to the Commissioner of Patents and Trademarks/Assistant Commissioner for Patents, Washington, D.C., 20231:

- return receipt postcard;
- check for \$1164 for filing fee and assignment recordation;
- transmittal form (2 copies);
- · fee calculation form (2 copies);
- 36 page specification including 43 numbered claims;
- 11 sheets of formal drawings;
- executed declaration and power of attorney;
- assignment and recordation cover sheet;
- certified copy of one priority document (JP 11-325473, JP 2000-259116); and
- IDS with PTO-1449 form and copy of 8 listed references.

Davi**é** G. Posz